

Research Outputs and Funding Body Policies

University of Leicester Procedures

1. Introduction

This document provides guidance to researchers and academic staff at the University of Leicester on how to comply with funding body policies on open access (OA) publication of research outputs.

A number of funding bodies have also agreed a common format for acknowledging financial support in journal articles. The details are summarised at the end of this document in Section 4.

It is the responsibility of individual academics to check the exact conditions of their grant award, and to ensure that any requirements for open access deposition and acknowledgement of support are met. The conditions detailed below may not apply to every type of research output, and it is the responsibility of the individual to check this.

This document is not exhaustive. These, and other, funding body policies are listed at <http://www.sherpa.ac.uk/juliet/>, but if you need advice, please contact the funding body directly.

2. Copyright

Authors should be aware of and abide by conditions in the copyright agreements they sign with publishers, including any embargo period on depositing the work in an OA repository.

Authors may sometimes be able to negotiate alternative terms with publishers by, for example, using the SPARC Addendum (<http://www.arl.org/sparc/author/>) or the JISC-SURF Licence to Publish (<http://copyrighttoolbox.surf.nl/copyrighttoolbox/authors/licence>).

Where copyright allows, authors should deposit the final formally published version of the output as formatted by the publisher in the OA repository.

Where the final formally published version of the article cannot be deposited in an OA repository for copyright reasons, authors should deposit a copy of the final submitted version of the manuscript as accepted by the publisher.

Publishers that have a paid Open Access option are listed at <http://www.sherpa.ac.uk/romeo/PaidOA.html>.

The RoMEO database (<http://www.sherpa.ac.uk/romeo>) gives details of publisher's copyright policies. Please direct any questions to Leicester Research Archive (LRA) staff at lra@le.ac.uk. The University encourages all staff to deposit copies of their publications in LRA.

Some examples of the specific policies of funding bodies regarding copyright and OA, are given below.

3. Funding Body Procedures

3.1. The Wellcome Trust - <http://www.wellcome.ac.uk/node3302.html>

3.1.1. Requirements

Journal articles arising from Wellcome funding **must** be deposited in UK PubMed Central (UKPMC) within 6 months of publication. This requirement does not apply to conference papers, books or book chapters. Details on how to satisfy this requirement are given in the Authors Guide and FAQ, at http://www.wellcome.ac.uk/doc_wtd018855.html.

3.1.2. Payment of open access charges

If the journal charges a fee for deposition in UKPMC, these charges can be claimed from a fund administered on behalf of the Wellcome Trust by the Research Support Office at the University of Leicester. To apply for funds contact Dr. Juliet Bailey, jab9@le.ac.uk, tel. 0116 252 2029.

3.1.3. Additional copyright information (see also section 2 above)

Authors must ensure that the publisher's copyright agreement does not conflict with the obligations in their grant conditions. If such a conflict does exist, then the options are outlined at http://www.wellcome.ac.uk/doc_WTD018855.html#P97_11107.

3.1.4. Timing

These requirements apply to all papers published from October 2006 onwards where any of the authors received Trust funding for the research.

3.2. Arts and Humanities Research Council -

http://www.ahrc.ac.uk/about/policy/ahrc_guidance_on_access_to_research_outputs.asp

3.2.1. Requirements

Grant holders **must** ensure deposit of any resultant articles published in journals or conference proceedings in an appropriate repository. Copyright and licensing policies must be respected. Bibliographical information relating to the item must be deposited as soon as possible after publication. For University of Leicester members the suitable repository is LRA (<https://lra.le.ac.uk>), although other suitable subject repositories may be used. Material can be deposited in both LRA and a subject repository. Contact lra@le.ac.uk.

3.2.2. Payment of open access charges

An author may choose to publish in an OA journal which charges author fees, or in a conventional journal which gives an option to pay a fee in order to make the article freely available immediately. In most cases, once any fees have been paid, the final published version of the paper may be deposited – LRA staff can verify this for any particular paper.

AHRC consider such costs to be part of an institution's indirect costs under the full economic costing regime. There are no central University funds available to pay these charges.

3.2.3. Timing

These requirements apply to awards from grant applications submitted from 6 September 2007.

3.3. Biotechnology and Biological Sciences Research Council (BBSRC)

http://www.bbsrc.ac.uk/publications/policy/access_research_outputs.html

3.3.1. Requirements

BBSRC **requires** a copy of any resulting published journal article or conference proceedings to be deposited, at the earliest opportunity, in an appropriate e-print repository, wherever such a repository is available. For University of Leicester members the "appropriate eprint repository" is LRA (<https://lra.le.ac.uk>). Other suitable subject repositories may also be used: material can be deposited in both LRA and a subject repository. Contact lra@le.ac.uk.

3.3.2. Payment of open access charges

An author may choose to publish in an OA journal which charges author fees, or in a conventional journal which gives an option to pay a fee in order to make the article freely available immediately. In most cases, once any fees have been paid, the final published version of the paper may be deposited – LRA staff can verify this for any particular paper.

Funds for paying any charges may be obtained from BBSRC direct grants (during the lifetime of the funded project only).

3.3.3. Timing

These requirements apply to awards from grant applications submitted from 1 October 2006. Authors are also encouraged by BBSRC to abide by this policy for grant applications before this time.

3.3.4.

3.4. Economic and Social Research Council (ESRC)

<http://www.esrcsocietytoday.ac.uk/ESRCInfoCentre/Support/access/>

3.4.1. Requirements

It is mandatory, at the earliest opportunity, for grant holders to deposit a copy of any resultant articles published in journals or conference proceedings, and, as soon as possible after publication, deposit the bibliographical information about those articles in the ESRC awards and outputs repository. Items may be deposited in both LRA and the ESRC repository. Authors can either:

1 - Deposit the material directly in the ESRC Awards and Outputs Repository (<http://www.esrcsocietytoday.ac.uk/ESRCInfoCentre/AdvancedSearchPage2.aspx>) , or

2 - Send the material to the Library for archiving in LRA (<https://lra.le.ac.uk>), and it will then be forwarded to the ESRC on the author's behalf.

3.4.2. Payment of open access charges

An author may choose to publish in an OA journal which charges author fees, or in a conventional journal which gives an option to pay a fee in order to make the article freely available immediately. In most cases, once any fees have been paid, the final published version of the paper may be deposited – LRA staff can verify this for any particular paper.

Funds for paying any charges may be obtained from ESRC direct grants (during the lifetime of the funded project only).

3.4.3. Timing

These requirements apply to awards from grant applications submitted from 1 October 2006. Authors are also encouraged by ESRC to abide by this policy for grant applications before this time. All deposits should be made “at the earliest opportunity”.

3.5 Medical Research Council (MRC) -

<http://www.mrc.ac.uk/PolicyGuidance/EthicsAndGovernance/OpenAccessPublishingandArchiving/MRCGuideforResearchersonOpenAccessPublishing/index.htm>

3.5.1 Requirements

As a condition of grant, MRC **requires** that authors ensure that research papers are deposited at the earliest opportunity, and certainly within six months, in UKPubMed Central (UKPMC).

3.5.2 Payment of open access charges

The MRC will pay ‘Author pays’ (article processing charges) where these have been included in applications for MRC grant funding.

3.5.3 Additional copyright information (see also section 2 above)

The MRC strongly encourages authors to publish in journals that allow them (or their institutions) to retain ownership of the copyright. If author retention of copyright is not permitted by the publisher, authors should publish in a journal that allows the paper to be made available in UKPMC within six months of publication. If a researcher wishes to publish in a journal that is unwilling to allow authors to retain copyright, or to allow such deposit, the MRC may grant permission for this in very

exceptional cases. This position is due for review during 2008.

3.5.4 Timing

These requirements apply to awards from grant applications submitted from 1 October 2006. Authors are also encouraged to abide by this policy for grant applications before this time.

3.6 Natural Environment Research Council (NERC)

<http://www.nerc.ac.uk/about/access/>

3.6.1 Requirements

NERC **requires** that an electronic copy of any published peer-reviewed paper, supported in whole or in part by NERC-funding, is deposited at the earliest opportunity in an e-print repository. University of Leicester staff are expected to use LRA.

3.6.2 Payment of open access charges

Funds for paying such charges may be obtained from NERC direct grants (during the lifetime of the funded project).

3.4.4. Timing

These requirements apply to awards from grant applications submitted from 1 October 2006. Authors are also encouraged by NERC to abide by this policy for grant applications before this time. Published items should be deposited at the earliest opportunity.

3.7 Science and Technology Facilities Council (formerly Particle Physics and Astronomy Research Council (PPARC))

<http://www.scitech.ac.uk/Publications/sci/outputs.aspx>

3.7.1 Requirements

Authors are strongly encouraged to deposit articles arising from STFC grants, and published in journals or conference proceedings, in a suitable OA repository. Wherever possible, bibliographical information about such articles must be deposited at the time of publication. University of Leicester members should use LRA, although other suitable subject repositories may also be available: material can be deposited in both LRA and a subject repository. Contact lra@le.ac.uk.

3.7.2 Payment of open access charges

An author may choose to publish in an OA journal which charges author fees or in a conventional journal which gives an option to pay a fee in order to make the article freely available immediately. In most cases, once any fees have been paid, the final published version of the paper may be deposited in an OA repository.

Funds for paying such charges may be obtained from STFC direct grants (during the lifetime of the funded project only).

3.7.3 Timing

These requirements apply to awards from grant applications submitted from 1 October 2006. Authors are also encouraged by STFC/PPARC to abide by this policy for grant applications before this time.

3.8 Engineering and Physical Sciences Research Council

<http://www.epsrc.ac.uk/AboutEPSRC/ROAccess.htm>

The EPSRC is currently considering its position, and is due to report in late 2008. Please contact

LRA staff for an update (lra@le.ac.uk)

3.9 Cancer Research UK

http://science.cancerresearchuk.org/gapp/openaccess_ukpmc/

3.9.1 Requirements

From June 2007 CRUK **requires** that researchers deposit an electronic copy of peer-reviewed, published papers arising from their CRUK funded work in the UKPMC database, as soon as possible and no later than 6 months after publication.

This means submitting the paper to a journal that offers an OA option, or submitting to one that will allow a copy of your paper to be uploaded after an embargo period, or permit you to self archive in UKPMC.

The policy allows for publication in non-compliant journals in exceptional circumstances, but a case must be made in advance of submitting the manuscript.

3.9.2 Payment of open access charges

Cancer Research UK will not make additional funds available to cover the costs of OA publishing at this stage. However, the situation will be closely monitored and actual costs to researchers will be reviewed in summer 2008.

3.9.3 Timing

This applies to research papers resulting from new awards made after 1 June 2007, as well as to existing grants.

3.10 British Heart Foundation

http://www.bhf.org.uk/research_health_professionals/apply_for_research_grants/open_access_policy.aspx

3.10.1 Requirements

As a condition of grant the BHF **requires** that a copy of the final version of each peer-reviewed research paper accepted for publication, supported in whole or in part by BHF funding, shall be deposited in UKPMC, to be made freely available within 6 months of publication.

If a researcher wishes to publish a paper in a journal that will not allow deposition in UKPMC and OA within 6 months of publication, a case must be made in advance to BHF, which will grant the request only in exceptional circumstances.

3.10.2 Payment of open access charges

If extra publication costs are required for OA in UKPMC, BHF will reimburse valid fees on receipt of a copy of the paper and the fee invoice. Where multiple funding bodies are acknowledged BHF will pay a proportion of the cost.

3.10.3 Timing

Unclear

3.11 EU Framework Plan 7

<http://ec.europa.eu/research/science-society/index.cfm?fuseaction=public.topic&id=1680>

3.11.1 Requirements

A pilot project is now running in health, energy, environment, information and communication technologies (ICTs), research infrastructures, socio-economic sciences and humanities, and science in society. Grant recipients must deposit peer reviewed research articles or final

manuscripts resulting from their FP7 projects into their institutional or, if unavailable, a subject-based repository, within 6 or 12 months. In energy, environment, health and ICT, the deadline is six months. In the social sciences and humanities, the deadline is 12 months.

3.11.2 Payment of open access charges

Unclear

3.11.3 Timing

The pilot will run until 2013, the end of the Framework programme.

3.12 Other funders

We have not found any policies from the Association of Medical Research Charities, the Leverhulme Trust, the British Academy or the Nuffield Foundation. However, please do check the website <http://www.sherpa.ac.uk/juliet/>, the conditions written in your letter of award or contact the funding body for an update as the situation is changing rapidly.

4. Acknowledgement of support

4.1 Background

Following discussions between the Research Information Network, Research Councils, other funders and journal publishers, a standard format has been agreed for acknowledging support in journal articles. This is to enable improved tracking of the publications generated by funded research projects, and will be required in future by many bodies for publications to count as an output in considering the Final Report on a grant. Check the conditions in your letter of award or contact the funding body for more information.

4.2 Agreed statement

For articles published in journals, or deposited in institutional or subject-based repositories, the acknowledgement of funding should take the form of a sentence as in the following example, with the funding agency written out in full, followed by the grant number in square brackets:

This work was supported by the <insert name of funder> [grant number xxxx].

Multiple grant numbers should be separated by comma and space. Where the research was supported by more than one agency, the different agencies should be separated by a semi-colon, with "and" before the final funder. For example:

This work was supported by the <insert name of first funder> [grant numbers xxxx, yyyy]; the <insert name of second funder> [grant number zzzz]; and the <insert name of third funder> [grant number aaaa].

[11 September 2008]